



2181 #4

PTO/SB/21 (12/97)

Approved for use through 9/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application No.	09/704,458
		Filing Date	November 1, 1900
		First Named Inventor	Kent Erickson
		Group Art Unit	2181
		Examiner Name	Unassigned
Total Number of Pages in This Submission	97	Attorney Docket Number	Technology Center 2100 3239P085

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MAY 22 2001

Technology Center 2100

### ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers <i>(for an Application)</i>	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group <i>(Appeal Notice, Brief, Reply Brief)</i>
<input type="checkbox"/> After Final <input checked="" type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> To Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) <i>(please identify below):</i>
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Terminal Disclaimer	<div style="border: 1px solid black; padding: 5px;">85 Prior Art References IDS w Cross Reference to Related Applications</div>
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
Remarks		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	William E. Alford, Reg. No. 37,764  BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	May 17, 2001

### CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

May 17, 2001

Typed or printed name	Susan McFarlane		
Signature		Date	May 17, 2001

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PTO/SB/17 (12/99)

# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$)

Complete if Known

Application No.	09/704,458	MAY 22 2001
Filing Date	November 1, 1900	
First Named Inventor	Kent Erickson	Technology Center 2000
Examiner Name	Unassigned	
Group/Art Unit	2181	
Attorney Docket Number	3239P085	

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **02-2666**

Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman LLP**

Charge Any Additional Fee(s) Required  
Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

Applicant claims small entity status.  
See 37 CFR 1.27.

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

**SUBTOTAL (1) (\$)**

### 2. EXTRA CLAIM FEES

Total Claims	-	Extra Claims	X	Fee from below	=	Fee Paid
Independent Claims	-	=	X	=	=	
Multiple Dependent	-	=	X	=	=	

\*or number previously paid, if greater. For Reissues, see below

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	260	204	135	Multiple Dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) (\$)**

## 3. ADDITIONAL FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for response within first month	
116	390	216	195	Extension for response within second month	
117	890	217	445	Extension for response within third month	
118	1,390	218	695	Extension for response within fourth month	
128	1,890	228	945	Extension for response within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)**

Complete (if applicable)

Name (Print/Type)	William E. Alford	Registration No. (Attorney/Agent)	37,764	Telephone	(714) 557-3800	
Signature	<i>William E. Alford</i>				Date	05/17/01

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#4  
5-24-01

Attorney Docket: 003239.P085

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Erickson, et al.

Serial No.: 09/704,458

Filed: November 01, 2000

For: CONNECTION PROTECTION  
BETWEEN CLIENTS AND  
OPTICAL CROSS-CONNECT  
SWITCHES

Art Group: 2181

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INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR §1.97

AND

CROSS REFERENCED TO RELATED APPLICATIONS UNDER 37 CFR §1.78(a)(2)

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Applicants, in accordance with their duty of disclosure under 37 CFR §1.56 and in accordance with 37 CFR §1.97 and 37 CFR §1.78(a)(2), hereby disclose and cross-reference to the following related patent applications all of which are assigned or under an obligation to assign to the same assignee as the above referenced patent application.

U.S. Patent Application entitled Method and apparatus for optical to Electrical to Optical conversion in an Optical Cross-Connect Switch by Ramaswami, et al., U.S. Application No.

09/704,439, filed November 01, 2000, attorney docket reference no. 003239.P081.

U.S. Patent Application entitled Optical Cross-Connect Switching System with Bridging, Test Access and Redundancy by Ramaswami, et al., U.S. Application No. 09/704,444, filed November 01, 2000, attorney docket reference no. 003239.P082.

U.S. Patent Application entitled 1+1 Fault Protection in a Network of Optical Cross-Connect Switching Systems by Ramaswami, et al., U.S. Application No. 09/704,446, filed November 01, 2001, attorney docket reference no. 003239.P083.

U.S. Patent Application entitled Method and Apparatus for Signaling Between an Optical Cross-Connect Switch and Attached Network Equipment by Rajiv Ramaswami, U.S. Application No. 09/704,445, filed November 01, 2000, attorney docket reference no. 003239.P084.

U.S. Patent Application entitled Optical Cross-Connect Switching System by Ramaswami, et al., U.S. Application No. 09/704,457, filed November 01, 2000, attorney docket reference no. 003239.P086.

Pursuant to 37 CFR §1.97, this submission is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

This information disclosure statement is being filed before receiving a first Office Action on the merits of the above

referenced U.S. Patent Application. Therefore, no filing fee is necessary. However, if any petition is needed it his hereby petitioned and to the extent any fee is due, please charge any shortage in fees in connection with the filing of this paper to Deposit Account 02-2666.

Respectfully submitted  
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN

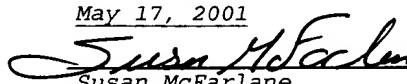
Dated: 5/17/01

  
William E. Alford Reg. No. 37,764

CERTIFICATE OF MAILING

12400 Wilshire Boulevard  
Seventh Floor  
Los Angeles, California 90025  
(714) 557-3800

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May 17, 2001

  
Susan McFarlane 5/17/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Erickson, et al.

Serial No.: 09/704,458

Filed: November 01, 2000

For: CONNECTION PROTECTION  
BETWEEN CLIENTS AND  
OPTICAL CROSS-CONNECT  
SWITCHES

RECEIVED

Art Group: 2181

MAY 22 2001

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Applicants in accordance with their duty of disclosure under 37 CFR §1.56 and in accordance with 37 CFR §1.97, submit the enclosed Form PTO-1449, including copies of the art cited therein.

Pursuant to 37 CFR §1.97, the submission of this information disclosure statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

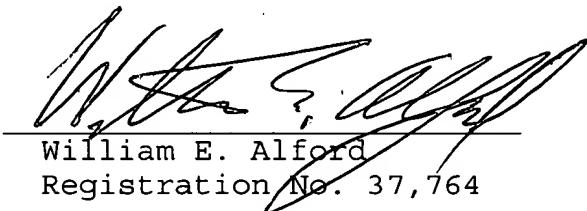
Applicant herewith has provided photocopied pages 152-161 and chapter 10 (pages 423-462) of the book entitled "Optical

Networks A Practical Perspective" written by Rajiv Ramaswami, an inventor, and Kumar N. Sivarajan, copyright 1998. The entire book was provided for the USPTO office's use and reference in an information disclosure statement filed in U.S. Patent Application No. 09/704,439.

This information disclosure statement is being filed before receiving a first Office Action on the merits of the above referenced U.S. Patent Application. Therefore, no filing fee is necessary. However, if any petition is needed it is hereby petitioned and to the extent any fee is due, please charge any shortage in fees in connection with the filing of this paper to Deposit Account 02-2666.

Respectfully submitted  
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN

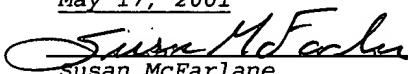
Dated: 5/17/01

  
\_\_\_\_\_  
William E. Alford  
Registration No. 37,764

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Seventh Floor  
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May 17, 2001

  
\_\_\_\_\_  
Susan McFarlane 5/17/01